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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 042390.P12043
(maximum 12 characters)

First Named Inventor Achintya K. Bhowmik

Title: METHOD AND APPARATUS FOR SWITCHING AND MODULATING AN OPTICAL SIGNAL WITH
ENHANCED SENSITIVITY

Express Mail Label No. EL861981520US

ADDRESS TO: **Assistant Commissioner for Patents**
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. X **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original, and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. X **Specification (Total Pages 22)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. X **Drawings(s) (35 USC 113) (Total Sheets 4)**
5. X **Oath or Declaration (Total Pages 6)**
 - a. X Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting
inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)
and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet. (37 CFR 1.76)**
7. **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8. **Nucleotide and/or Amino Acid Sequence Submission**
(if applicable, all necessary)
 - a. **Computer Readable Form (CRF)**
 - b. **Specification Sequence Listing on:**
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. **Statement verifying identity of above copies**

JC997 U.S. PTO

09/955235



ACCOMPANYING APPLICATION PARTS

9. X **Assignment Papers (cover sheet & documents(s))**
 10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
 X b. Power of Attorney
 11. English Translation Document (if applicable)
 12. a. Information Disclosure Statement (IDS)/PTO-1449
 b. Copies of IDS Citations
 13. **Preliminary Amendment**
 14. X **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
 15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
 16. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
 17. X Other: separate sheet with title, express mail label, copy of postcard and attorney's signature

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

 Continuation Divisional Continuation-in-part (CIP)
 Of Prior Application No.: Examiner Group Art Unit

(which is a continuation/ divisional/ CIP of prior application no. ;
 which is a continuation/ divisional/ CIP of prior application no.) (List entire chain of priority)

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. Frame No. (or a copy of which is attached).

19. Correspondence Address

 Customer Number or Bar Code Label
 or (Insert Customer No. or Attach Bar Code Label here)

 X Correspondence Address Below

NAME Lawrence E. Lycke
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

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Name (PRINT/TYPE): Lawrence E. Lycke Registration No.: 38,540
 Signature: *Lawrence E. Lycke* Date: Sept. 17, 2001

jc997 U.S. PTO
09/955235
09/17/01

FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$1,090.00

Complete if Known:

Application No. Not yet assigned
Filing Date Herewith
First Named Inventor Achintya K. Bhowmik
Group Art Unit _____
Examiner Name _____
Attorney Docket No. 042390.P12043

METHOD OF PAYMENT (check one)

1. ☒ [X] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
Deposit Account Name _____

☒ [X] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ X Payment Enclosed:
☒ X Check
_____ Money Order
_____ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility application filing fee	<u>\$710.00</u>
106	320	206	160	Design application filing fee	_____
107	490	207	245	Plant filing fee	_____
108	710	208	355	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____
SUBTOTAL (1)					\$ <u>710.00</u>

2. EXTRA CLAIM FEES

			Extra Claims	Fee from below	Fee Paid
Total Claims	<u>30</u>	- 20** =	<u>10</u>	X <u>\$18.00</u>	= <u>\$180.00</u>
Independent Claims	<u>5</u>	- 3** =	<u>2</u>	X <u>\$80.00</u>	= <u>\$160.00</u>
Multiple Dependent					= _____

**Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					\$ <u>340.00</u>

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee</u> <u>Code</u>	<u>Fee</u> <u>(\$)</u>	<u>Fee</u> <u>Code</u>	<u>Fee</u> <u>(\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
128	1,890	228	945	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application or unavoidably delayed payment of issue fee	
141	1,240	241	620	Petition to revive unintentionally abandoned application or unintentionally delayed payment of issue fee	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	\$40.00
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					
Other fee (specify) _____					

SUBTOTAL (3) \$ 40.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:Typed or Printed Name: Lawrence E. LyckeSignature: Date: Sept. 17, 2001Reg. Number: 38,540Telephone Number: (206) 292-8600